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Department of Health and Human Services

Indian Health Service

Office of Clinical and Preventive Services: National HIV Program

HIV/AIDS Prevention and Engagement in Care

Announcement Type: New

Funding Announcement Number: HHS-2016-IHS-OCPS-HIV-0001

Catalog of Federal Domestic Assistance Number: 93.933

## **Key Dates**

Application Deadline Date: August 28, 2016

Review Date: September 1-8, 2016

Earliest Anticipated Start Date: September 30, 2016

Signed Tribal Resolution Due Date: August 28, 2016

Proof of Non-Profit Status Due Date: August 28, 2016

## **I. Funding Opportunity Description**

### **Statutory Authority**

The Indian Health Service (IHS) is accepting competitive cooperative agreement applications for Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome

(HIV/AIDS) Prevention and Engagement in Care. This program is funded by the Division of Sexually Transmitted Disease Prevention, Centers for Disease Control and Prevention (CDC). Funding for the HIV/AIDS award will be provided by CDC via an Interagency Agreement dated 06/10/2016 to IHS to permit obligation of funding appropriated by the Department of Defense, Military Construction and Veterans Affairs, and Full-Year Continuing Appropriations Act, 2013, Pub. L. No. 113-6. This program is described in the Catalog of Federal Domestic Assistance (CFDA) under 93.933.”

## **Background**

The IHS Office of Clinical and Preventive Services (OCPS), HIV/AIDS Program serves as the primary source for national education, policy development, budget development, and allocation for clinical, preventive, and public health HIV/AIDS programs for the IHS, area offices, and service units. It provides leadership in articulating the clinical, preventive, and public health needs of American Indian/Alaska Native (AI/AN) communities and developing, managing, and administering program functions related to HIV/AIDS.

## **Purpose**

The purpose of this cooperative agreement is to meet AI/AN community’s needs in achieving the goals of the National HIV/AIDS Strategy: Updated to 2020 (Strategy), released in July 2015. Specifically, this agreement seeks to increase local activities to move the Nation forward toward improving its HIV prevention and care outcomes with special emphasis in one of five areas:

- 1) Increasing access to comprehensive Pre-Exposure Prophylaxis (PrEP) services for those whom it is appropriate and desired;
- 2) Identifying local-level priorities for HIV care needs and creating tools and resources appropriate to meet those priorities;
- 3) Improving engagement and retention in care among People Living with HIV/AIDS (PLWHA);
- 4) Supporting and educating communities on risk reduction activities for persons who inject drugs and extend access to services for medication-assisted therapies for persons with opioid addiction in accordance with Federal, state, Tribal, and local laws; and,
- 5) Increasing local-level delivery of age-appropriate HIV and Sexually Transmitted Infections (STI) prevention education.

## **II. Award Information**

### **Type of Award**

Cooperative Agreement.

### **Estimated Funds Available**

The total amount of funding identified for the current fiscal year (FY) 2016 is approximately \$500,000. Individual award amounts are anticipated to be between \$20,000 and \$100,000. The amount of funding available for competing and continuation awards issued under this announcement are subject to the availability of appropriations and budgetary priorities of the Agency. The IHS is under no obligation to make awards

that are selected for funding under this announcement.

### **Anticipated Number of Awards**

Approximately five awards will be issued under this program announcement. OS and IHS will concur on the final decision as to who will receive awards.

### **Project Period**

The project period is for five years and will run consecutively from September 30, 2016 to September 29, 2021.

### **Cooperative Agreement**

Cooperative agreements awarded by CDC are administered under the same policies as a grant. The funding agency is required to have substantial programmatic involvement in the project during the entire award segment. Below is a detailed description of the level of involvement required for both the funding agency and the grantee. OS, through IHS will be responsible for activities listed under section A and the grantee will be responsible for activities listed under section B as stated:

### **Substantial Involvement Description for Cooperative Agreement**

#### **A. IHS Programmatic Involvement**

- 1) Interpretation of current scientific literature related to epidemiology, statistics, surveillance, and other HIV disease control activities;
- 2) Design and implementation of program components (including, but not limited to,

program implementation methods, surveillance, epidemiologic analysis, outbreak investigation, development of programmatic evaluation, development of disease control programs, and coordination of activities);

- 3) Implementation of program management best practices;
- 4) Conduct site visits to assess program progress and provide programmatic technical assistance as travel funds allow; and
- 5) Coordination of these activities with all IHS HIV activities on a national basis.

**B. Grantee Cooperative Agreement Award Activities**

- 1) Develop and deploy a plan of action to reduce disparities and increase services relevant to at least one of the above-named five areas of interest relevant to the updated Strategy.
- 2) Provide a three page mid-year report and no more than a ten page summary annual report at the end of each project year. The report should include the HHS HIV common indicators and establish the impact and outcomes of activities undertaken during the funding period. For more information on the Common Indicators, please see: <https://www.aids.gov/pdf/hhs-common-hiv-indicators.pdf>

**III. Eligibility Information**

**I.**

**1. Eligibility**

To be eligible for this “New Announcement” under this announcement, an applicant must be one of the following as defined by

25 U.S.C. 1603:

i. An **Indian Tribe**, 25 U.S.C. 1603(14); operating an Indian health program operated pursuant to a contract, grant, cooperative agreement, or compact with IHS pursuant to the Indian Self-Determination and Education Assistance Act (ISDEAA), (Pub. L. 93-638).

ii. A **Tribal organization** 25 U.S.C. 1603(26); operating an Indian health program operated pursuant to as contract, grant, cooperative agreement, or compact with the IHS pursuant to the ISDEAA, (Pub. L. 93-638).

iii. An **Urban Indian organization**, 25 U.S.C. 1603(29); operating a Title V Urban Indian health program that currently has a grant or contract with the IHS under Title V of the Indian Health Care Improvement Act, (Pub. L. 93-437). Applicants must provide proof of non-profit status with the application, e.g. 501(c)(3).

**Note:** Please refer to Section IV.2 (Application and Submission Information/Subsection 2, Content and Form of Application Submission) for additional proof of applicant status documents required such as Tribal resolutions, proof of non-profit status, etc.

## **2. Cost Sharing or Matching**

The IHS does not require matching funds or cost sharing for grants or cooperative

agreements.

### **3. Other Requirements**

If application budgets exceed the highest dollar amount outlined under the “**Estimated Funds Available**” section within this funding announcement, the application will be considered ineligible and will not be reviewed for further consideration. If deemed ineligible, IHS will not return the application. The applicant will be notified by e-mail by the Division of Grants Management (DGM) of this decision.

The following documentation is required:

#### **Tribal Resolution**

An Indian Tribe or Tribal organization that is proposing a project affecting another Indian Tribe must include resolutions from all affected Tribes to be served. Applications by Tribal organizations will not require a specific Tribal resolution if the current Tribal resolution(s) under which they operate would encompass the proposed grant activities.

An official signed Tribal resolution must be received by the DGM prior to a Notice of Award being issued to any applicant selected for funding. However, if an official signed Tribal resolution cannot be submitted with the electronic application submission prior to the official application deadline date, a draft

Tribal resolutions must be submitted by the deadline in order for the application to be considered complete and eligible for review. The draft Tribal resolution is not in lieu of the required signed resolution, but is acceptable until a signed resolution is received. If an official signed Tribal resolution is not received by DGM when funding decisions are made, then a Notice of Award will not be issued to that applicant and they will not receive any IHS funds until such time as they have submitted a signed resolution to the Grants Management Specialist listed in this funding announcement.

#### **Proof of Non-Profit Status**

Organizations claiming non-profit status must submit proof. A copy of the 501(c)(3) Certificate must be received with the application submission by the Application Deadline Date listed under the Key Dates section on page one of this announcement.

An applicant submitting any of the above additional documentation after the initial application submission due date is required to ensure the information was received by the IHS by obtaining documentation confirming delivery (i.e., FedEx tracking, postal return receipt, etc.).

#### **IV. Application and Submission Information**

##### **1. Obtaining Application Materials**

The application package and detailed instructions for this announcement can be



found at <http://www.Grants.gov> or <http://www.ihs.gov/dgm/funding/>.

Questions regarding the electronic application process may be directed to Mr. Paul Gettys at (301) 443-2114 or (301) 443-5204.

## **2. Content and Form Application Submission**

The applicant must include the project narrative as an attachment to the application package. Mandatory documents for all applicants include:

- Table of contents.
- Abstract (one page) summarizing the project.
- Application forms:
  - SF-424, Application for Federal Assistance.
  - SF-424A, Budget Information – Non-Construction Programs.
  - SF-424B, Assurances – Non-Construction Programs.
- Budget Justification and Narrative (must be single spaced and not exceed five pages).
- Project Narrative (must be single spaced and not exceed 15 pages).
  - Background information on the organization.
  - Proposed scope of work, objectives, and activities that provide a description of what will be accomplished, including a one-page Timeframe Chart.
- Tribal Resolution(s).

- 501(c)(3) Certificate (if applicable).
- Biographical sketches for all key personnel.
- Contractor/consultant resumes or qualifications and scope of work.
- Disclosure of Lobbying Activities (SF-LLL).
- Certification Regarding Lobbying (GG-Lobbying Form).
- Copy of current Negotiated Indirect Cost rate (IDC) agreement (required) in order to receive IDC.
- Organizational chart (optional).
- Documentation of current Office of Management and Budget (OMB) Audit as required by 45 C.F.R. 75, Subpart F or other required Financial Audit (if applicable).
- Acceptable forms of documentation include:
  - E-mail confirmation from Federal Audit Clearinghouse (FAC) that audits were submitted; or
  - Face sheets from audit reports. These can be found on the FAC website:

<http://harvester.census.gov/sac/dissem/accessoptions.html?submit=Go+To+Database>

### **Public Policy Requirements**

All Federal-wide public policies apply to IHS grants and cooperative agreements with exception of the discrimination policy.

## **Requirements for Project and Budget Narratives**

**A. Project Narrative:** This narrative should be a separate Word document that is no longer than 15 pages and must: be single-spaced, be type written, have consecutively numbered pages, use black type not smaller than 12 characters per one inch, and be printed on one side only of standard size 8-1/2” x 11” paper.

Be sure to succinctly address and answer all questions listed under the narrative and place them under the evaluation criteria (refer to Section V.1, Evaluation criteria in this announcement) and place all responses and required information in the correct section (noted below), or they shall not be considered or scored. These narratives will assist the Objective Review Committee (ORC) in becoming familiar with the applicant’s activities and accomplishments prior to this cooperative agreement award. If the narrative exceeds the page limit, only the first 15 pages will be reviewed. The 15-page limit for the narrative does not include the work plan, standard forms, Tribal resolutions, table of contents, budget, budget justifications, narratives, and/or other appendix items.

There are three parts to the narrative: Part A – Program Information; Part B – Program Planning and Evaluation; and Part C – Program Report. See below for additional details about what must be included in the narrative.

### **Part A: Program Information** 3 pages

#### Section 1: Needs

Describe how the Indian Tribe or organization has determined it has the

administrative infrastructure to support activities to increase HIV/AIDS activities and assist individuals. Explicitly state which major element from the Strategy that will be addressed and how this element is important to the needs of the community. Explain any previous planning activities the Tribe or organization has completed relevant to this or similar goals.

**Part B: Program Planning and Evaluation** 5 pages

Section 1: Program Plans

Describe fully and clearly the direction the Indian Tribe plans to meet its goals, including how the Tribe plans to demonstrate improved health and services to the community it serves. Include proposed timelines.

Section 2: Program Evaluation

Describe fully and clearly the improvements that will be made by the Indian Tribe to manage the health care system and identify the anticipated or expected benefits for the Tribe or AI/AN people served.

**Part C: Program Report** 7 pages

Please identify and describe significant program achievements associated with the delivery of quality health services or outreach services in the past 24 months in implementing previous grants, cooperative agreements, or other related activities. Provide a comparison of the actual accomplishments to the goals established for the project period, or if

applicable, provide justification for the lack of progress.

Section 2: Describe major activities over the last 24 months.

Please identify and summarize recent major health related project activities of the work done during the project period.

**B. Budget Narrative:** This narrative must include a line item budget with a narrative justification for all expenditures identifying reasonable and allowable costs necessary to accomplish the goals and objectives as outlined in the project narrative. Budget should match the scope of work described in the project narrative. The page limitation should not exceed five pages.

### **3. Submission Dates and Times**

Applications must be submitted electronically through Grants.gov by 11:59 p.m. Eastern Daylight Time (EDT) on the Application Deadline Date listed in the Key Dates section on page one of this announcement. Any application received after the application deadline will not be accepted for processing, nor will it be given further consideration for funding. Grants.gov will notify the applicant via e-mail if the application is rejected.

If technical challenges arise and assistance is required with the electronic application process, contact Grants.gov Customer Support via e-mail to [support@grants.gov](mailto:support@grants.gov) or at (800) 518-4726. Customer Support is available to

address questions 24 hours a day, 7 days a week (except on Federal holidays). If problems persist, contact Mr. Paul Gettys (Paul.Gettys@ihs.gov), DGM Grant Systems Coordinator, by telephone at (301) 443-2114 or (301) 443-5204. Please be sure to contact Mr. Gettys at least ten days prior to the application deadline. Please do not contact the DGM until you have received a Grants.gov tracking number. In the event you are not able to obtain a tracking number, call the DGM as soon as possible.

If the applicant needs to submit a paper application instead of submitting electronically through Grants.gov, a waiver must be requested. Prior approval must be requested and obtained from Mr. Robert Tarwater, Director, DGM, (see Section IV.6 below for additional information). The waiver must: 1) be documented in writing (e-mails are acceptable), **before** submitting a paper application, and 2) include clear justification for the need to deviate from the required electronic grants submission process. A written waiver request must be sent to GrantsPolicy@ihs.gov with a copy to Robert.Tarwater@ihs.gov. Once the waiver request has been approved, the applicant will receive a confirmation of approval e-mail containing submission instructions and the mailing address to submit the application. A copy of the written approval ***must*** be submitted along with the hardcopy of the application that is mailed to DGM. Paper applications that are submitted without a copy of the signed waiver from the Director of the DGM will not be reviewed or considered for funding. The applicant will be notified via e-mail of this decision by the Grants Management Officer of the

DGM. Paper applications must be received by the DGM no later than 5:00 p.m., EDT, on the Application Deadline Date listed in the Key Dates section on page one of this announcement. Late applications will not be accepted for processing or considered for funding.

#### **4. Intergovernmental Review**

Executive Order 12372 requiring intergovernmental review is not applicable to this program.

#### **5. Funding Restrictions**

- Pre-award costs are not allowable.
- The available funds are inclusive of direct and appropriate indirect costs.
- Only one grant/cooperative agreement will be awarded per applicant.
- IHS will not acknowledge receipt of applications.

#### **6. Electronic Submission Requirements**

All applications must be submitted electronically. Please use the <http://www.Grants.gov> website to submit an application electronically and select the “Find Grant Opportunities” link on the homepage. Download a copy of the application package, complete it offline, and then upload and submit the completed application via the <http://www.Grants.gov> website. Electronic copies of the application may not be submitted as attachments to e-mail messages addressed to IHS employees or offices.

If the applicant receives a waiver to submit paper application documents, the applicant must follow the rules and timelines that are noted below. The applicant must seek assistance at least ten days prior to the Application Deadline Date listed in the Key Dates section on page one of this announcement.

Applicants that do not adhere to the timelines for System for Award Management (SAM) and/or <http://www.Grants.gov> registration or that fail to request timely assistance with technical issues will not be considered for a waiver to submit a paper application.

Please be aware of the following:

- Please search for the application package in <http://www.Grants.gov> by entering the CFDA number or the Funding Opportunity Number. Both numbers are located in the header of this announcement.
- If you experience technical challenges while submitting your application electronically, please contact Grants.gov Support directly at: [support@grants.gov](mailto:support@grants.gov) or (800) 518-4726. Customer Support is available to address questions 24 hours a day, 7 days a week (except on Federal holidays).
- Upon contacting Grants.gov, obtain a tracking number as proof of contact. The tracking number is helpful if there are technical issues that cannot be resolved and a waiver from the agency must be obtained.



- If it is determined that a waiver is needed, the applicant must submit a request in writing (e-mails are acceptable) to GrantsPolicy@ihs.gov with a copy to Robert.Tarwater@ihg.gov. Please include a clear justification for the need to deviate from the standard electronic submission process.
- If the waiver is approved, the application should be sent directly to the DGM by the Application Deadline Date listed in the Key Dates section on page one of this announcement.
- Applicants are strongly encouraged not to wait until the deadline date to begin the application process through Grants.gov as the registration process for SAM and Grants.gov could take up to fifteen working days.
- Please use the optional attachment feature in Grants.gov to attach additional documentation that may be requested by the DGM.
- All applicants must comply with any page limitation requirements described in this funding announcement.
- After electronically submitting the application, the applicant will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The DGM will download the application from Grants.gov and provide necessary copies to the appropriate agency officials. Neither the DGM nor the National HIV Program will notify the applicant that the application has been received.
- E-mail applications will not be accepted under this announcement.

**Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS)**

All IHS applicants and grantee organizations are required to obtain a DUNS number and maintain an active registration in the SAM database. The DUNS number is a unique 9-digit identification number provided by D&B which uniquely identifies each entity. The DUNS number is site specific; therefore, each distinct performance site may be assigned a DUNS number. Obtaining a DUNS number is easy, and there is no charge. To obtain a DUNS number, please access it through <http://fedgov.dnb.com/webform>, or to expedite the process, call (866) 705-5711.

All HHS recipients are required by the Federal Funding Accountability and Transparency Act of 2006, as amended (“Transparency Act”), to report information on sub-awards. Accordingly, all IHS grantees must notify potential first-tier sub-recipients that no entity may receive a first-tier sub-award unless the entity has provided its DUNS number to the prime grantee organization. This requirement ensures the use of a universal identifier to enhance the quality of information available to the public pursuant to the Transparency Act.

**System for Award Management (SAM)**

Organizations that were not registered with Central Contractor Registration and have not registered with SAM will need to obtain a DUNS number first and then access the SAM online registration through the SAM home page at <https://www.sam.gov> (U.S. organizations will also need to provide an Employer

Identification Number from the Internal Revenue Service that may take an additional 2-5 weeks to become active). Completing and submitting the registration takes approximately one hour to complete and SAM registration will take 3-5 business days to process. Registration with the SAM is free of charge. Applicants may register online at <https://www.sam.gov>.

Additional information on implementing the Transparency Act, including the specific requirements for DUNS and SAM, can be found on the IHS Grants Management, Grants Policy website: <http://www.ihs.gov/dgm/policytopics/>.

## **V. Application Review Information**

The instructions for preparing the application narrative also constitute the evaluation criteria for reviewing and scoring the application. Weights assigned to each section are noted in parentheses. The 15 page narrative should include only the first year of activities; information for multi-year projects should be included as an appendix. See “Multi-year Project Requirements” at the end of this section for more information. The narrative section should be written in a manner that is clear to outside reviewers unfamiliar with prior related activities of the applicant. It should be well organized, succinct, and contain all information necessary for reviewers to understand the project fully. Points will be assigned to each evaluation criteria adding up to a total of 100 points. A minimum score of 60 points is required for funding. Points are assigned as follows:

### **1. Criteria**

**A. Introduction and Need for Assistance (15 points)**

- 1) Define the project's target population, identify unique characteristics, and describe the impact of HIV on the population.
- 2) Describe challenges to providing HIV care and retaining patients in care in the population.
- 3) Describe the gaps/barriers in awareness and access to PrEP for the population.
- 4) Describe the cultural or sociological barriers of the target population in seeking or accessing services, including HIV prevention services.

**B. Project Objective(s), Work Plan and Approach (40 points)**

1) Objectives

- i. Describe the objectives of the program and how they will improve HIV care and prevention outcomes in the community served.

Identify which areas of HIV prevention and care will be addressed, particularly as they relate to:

- a. Increasing access to comprehensive PrEP services for those whom it is appropriate and desired;
- b. Identifying local-level priorities for HIV care needs and creating tools and resources appropriate to meet those priorities;
- c. Improving engagement and retention in care among People Living with HIV/AIDS (PLWHA);
- d. Supporting and educating communities on risk reduction

activities for persons who inject drugs and extend access to services for medication-assisted therapies for persons with opioid addiction in accordance with Federal, state, Tribal, and local laws; and,

- e. Increasing local-level delivery of age-appropriate HIV and STI prevention education.

## 2) Work Plan

- a. Identify the proposed program activities and explain how these activities will increase and sustain HIV prevention and/or care activities.
- b. Provide a clear timeline with quarterly milestones for project activities.

## 3) Approach

- i. Describe how the program will be implemented to address the areas of interest identified in the objectives.
- ii. Describe how program will increase access to PrEP services for the community served.
- iii. Describe the program strategies to linking seropositive patients to care and effectively engaging them in care.
- iv. Describe program strategies to improve other HIV care and prevention outcomes.
- v. Describe the program quality assurance strategies.
- vi. Describe how the program will ensure client

confidentiality.

- vii. Describe how the program will ensure that services are culturally sensitive and relevant.
- viii. Describe how the program will conduct harm-reduction activities relevant to the needs of persons who inject drugs.
- ix. Describe how the program will develop and disseminate age-appropriate HIV and STI prevention education.

**C. Program Evaluation (20 points)**

- 1) Grantee shall provide a plan for monitoring and evaluating proposed activities.
- 2) Evaluation planning must include reporting on the HHS HIV Core indicators relevant to the program's objectives and be aligned with updated NHAS indicators.
- 3) Optional Measures:
  - i. Sustainability measures undertaken to continue testing following the end of this funding.

**D. Organizational Capabilities, Key Personnel and Qualifications (20 points)**

This section outlines the broader capacity of the organization to complete the project outlined in the work plan. It includes the identification of personnel responsible for completing tasks and the chain of responsibility for successful completion of the project outlined in the work plan.

- 1) Describe the organizational structure.

- 2) Describe what equipment (i.e., phone, Web sites, etc.) and facility space (i.e., office space) will be available for use during the proposed project.

- a. Include information about any equipment not currently available that will be purchased throughout the agreement.
- 3) List key personnel who will work on the project.
  - i. Identify staffing plan, existing personnel and new program staff to be hired.
  - ii. In the appendix, include position descriptions and resumes for all key personnel. Position descriptions should clearly describe each position and duties indicating desired qualifications, experience, and requirements related to the proposed project and how they will be supervised. Resumes must indicate that the proposed staff member is qualified to carry out the proposed project activities and who will determine if the work of a contractor is acceptable.
  - iii. If the project requires additional personnel beyond those covered by the supplemental grant, (i.e., IT support, volunteers, interviewers, etc.), note these and address how these positions will be filled and, if funds are required, the source of these funds.
  - iv. If personnel are to be only partially funded by this supplemental grant, indicate the percentage of time to be allocated to this project and identify the resources used to fund the remainder of the individual's salary.
- 4) Capability
  - i. Briefly describe the facility and user population.



- ii. Describe the Tribe or the organization's ability to conduct this initiative.

**E. Categorical Budget and Budget Justification (5 points)**

Provide a clear estimate of the project program costs and justification for expenses for the entire grant period. The budget and budget justification should be consistent with the tasks identified in the work plan. The budget focus should be on increasing and sustaining HIV testing services as well as supporting entry and retention into care.

- 1) Budget narrative that serves as justification for all costs, explaining why each line item is necessary or relevant to the proposed project. Include sufficient details to facilitate the determination of allowable costs.
- 2) If indirect costs are claimed, indicate and apply the current negotiated rate to the budget. Include a copy of the rate agreement in the appendix.

**Multi-Year Project Requirements**

Projects requiring a second, third, fourth, and/or fifth year must include a brief project narrative and budget (one additional page per year) addressing the developmental plans for each additional year of the project.

**Additional documents can be uploaded as Appendix Items in Grants.gov**

- Work plan, logic model and/or time line for proposed objectives.

- Position descriptions for key staff.
- Resumes of key staff that reflect current duties.
- Consultant or contractor proposed scope of work and letter of commitment (if applicable).
- Current Indirect Cost Agreement.
- Organizational chart.
- Map of area identifying project location(s).
- Additional documents to support narrative (i.e., data tables, key news articles, etc.).

## **2. Review and Selection**

Each application will be prescreened by the DGM staff for eligibility and completeness as outlined in the funding announcement. Applications that meet the eligibility criteria shall be reviewed for merit by the ORC based on evaluation criteria in this funding announcement. The ORC could be composed of both Tribal and Federal reviewers appointed by the IHS program to review and make recommendations on these applications. The technical review process ensures selection of quality projects in a national competition for limited funding.

Incomplete applications and applications that are non-responsive to the eligibility criteria will not be referred to the ORC. The applicant will be notified via e-mail

of this decision by the Grants Management Officer of the DGM. Applicants will be notified by DGM, via e-mail, to outline minor missing components (i.e., budget narratives, audit documentation, key contact form) needed for an otherwise complete application. All missing documents must be sent to DGM on or before the due date listed in the e-mail of notification of missing documents required.

To obtain a minimum score for funding by the ORC, applicants must address all program requirements and provide all required documentation.

## **VI. Award Administration Information**

### **1. Award Notices**

The Notice of Award (NoA) is a legally binding document signed by the Grants Management Officer and serves as the official notification of the grant award.

The NoA will be initiated by the DGM in our grant system, GrantSolutions (<https://www.grantsolutions.gov>). Each entity that is approved for funding under this announcement will need to request or have a user account in GrantSolutions in order to retrieve their NoA. The NoA is the authorizing document for which funds are dispersed to the approved entities and reflects the amount of Federal funds awarded, the purpose of the grant, the terms and conditions of the award, the effective date of the award, and the budget/project period.

### **Disapproved Applicants**

Applicants who received a score less than the recommended funding level for approval, 60 points, and were deemed to be disapproved by the ORC, will receive an Executive Summary Statement from the IHS program office within 30 days of the conclusion of the ORC outlining the strengths and weaknesses of their application submitted. The IHS program office will also provide additional contact information as needed to address questions and concerns as well as provide technical assistance if desired.

#### **Approved But Unfunded Applicants**

Approved but unfunded applicants that met the minimum scoring range and were deemed by the ORC to be “Approved”, but were not funded due to lack of funding, will have their applications held by DGM for a period of one year. If additional funding becomes available during the course of FY 2016 the approved but unfunded application may be re-considered by the awarding program office for possible funding. The applicant will also receive an Executive Summary Statement from the IHS program office within 30 days of the conclusion of the ORC.

**NOTE:** Any correspondence other than the official NoA signed by an IHS grants management official announcing to the project director that an award has been made to their organization is not an authorization to implement their program on behalf of IHS.

## **2. Administrative Requirements**

Cooperative agreements are administered in accordance with the following regulations, policies, and OMB cost principles:

- A.** The criteria as outlined in this program announcement.
- B.** Administrative Regulations for Grants:
  - Uniform Administrative Requirements for HHS Awards, located at 45 C.F.R. Part 75.
- C.** Grants Policy:
  - HHS Grants Policy Statement, Revised 01/07.
- D.** Cost Principles:
  - Uniform Administrative Requirements for HHS Awards, “Cost Principles,” located at 45 C.F.R. Part 75, Subpart E.
- E.** Audit Requirements:
  - Uniform Administrative Requirements for HHS Awards, “Audit Requirements,” located at 45 C.F.R. Part 75, Subpart F.

## **3. Indirect Costs**

This section applies to all grant recipients that request reimbursement of indirect costs (IDC) in their grant application. In accordance with HHS Grants Policy Statement, Part II-27, IHS requires applicants to obtain a current IDC rate agreement prior to award. The rate agreement must be prepared in accordance with the applicable cost principles and guidance as provided by the cognizant agency or office. A current rate covers the applicable grant activities under the

current award's budget period. If the current rate is not on file with the DGM at the time of award, the IDC portion of the budget will be restricted. The restrictions remain in place until the current rate is provided to the DGM.

Generally, IDC rates for IHS grantees are negotiated with the Division of Cost Allocation (DCA) <https://rates.psc.gov/> and the Department of Interior (Interior Business Center) <https://www.doi.gov/ibc/services/finance/indirect-Cost-Services/indian-tribes>. For questions regarding the indirect cost policy, please call the Grants Management Specialist listed under "Agency Contacts" or the main DGM office at (301) 443-5204.

#### **4. Reporting Requirements**

The grantee must submit required reports consistent with the applicable deadlines. Failure to submit required reports within the time allowed may result in suspension or termination of an active grant, withholding of additional awards for the project, or other enforcement actions such as withholding of payments or converting to the reimbursement method of payment. Continued failure to submit required reports may result in one or both of the following: 1) the imposition of special award provisions; and 2) the non-funding or non-award of other eligible projects or activities. This requirement applies whether the delinquency is attributable to the failure of the grantee organization or the individual responsible for preparation of the reports. Per DGM policy, all reports are required to be submitted electronically by attaching them as a "Grants Note" in the

GrantSolutions. Personnel responsible for submitting reports will be required to obtain a login and password for GrantSolutions. Please see the Agency Contacts list in section VII for the systems contact information.

The reporting requirements for this program are noted below.

#### **A. Progress Reports**

Program progress reports are required semi-annually, within 30 days after the budget period ends. These reports must include a brief comparison of actual accomplishments to the goals established for the period, a summary of progress to date or, if applicable, provide sound justification for the lack of progress, and other pertinent information as required. A final report must be submitted within 90 days of expiration of the budget/project period.

#### **B. Financial Reports**

Federal Financial Report (FFR) (SF-425), Cash Transaction Reports are due 30 days after the close of every calendar quarter to the Payment Management Services, HHS at: <http://www.dpm.psc.gov>. It is recommended that the applicant also send a copy of the FFR (SF-425) report to the Grants Management Specialist. Failure to submit timely reports may cause a disruption in timely payments to the organization.

Grantees are responsible and accountable for accurate information being

reported on all required reports: the Progress Reports and Federal Financial Report.

### **C. Federal Sub-award Reporting System (FSRS)**

This award may be subject to the Transparency Act sub-award and executive compensation reporting requirements of 2 C.F.R. Part 170.

The Transparency Act requires the OMB to establish a single searchable database, accessible to the public, with information on financial assistance awards made by Federal agencies. The Transparency Act also includes a requirement for recipients of Federal grants to report information about first-tier sub-awards and executive compensation under Federal assistance awards.

IHS has implemented a Term of Award into all IHS Standard Terms and Conditions, NoAs and funding announcements regarding the FSRS reporting requirement. This IHS Term of Award is applicable to all IHS grant and cooperative agreements issued on or after October 1, 2010, with a \$25,000 sub-award obligation dollar threshold met for any specific reporting period. Additionally, all new (discretionary) IHS awards (where the project period is made up of more than one budget period) and where: 1) the project period start date was October 1, 2010 or after and 2) the primary awardee will have a \$25,000 sub-award obligation dollar threshold during any specific



reporting period will be required to address the FSRS reporting. For the full IHS award term implementing this requirement and additional award applicability information, visit the DGM Grants Policy Website at: <http://www.ihs.gov/dgm/policytopics/>.

#### **D. Compliance with Executive Order 13166 Implementation of Services**

##### **Accessibility Provisions for All Grant Application Packages and Funding Opportunity Announcements**

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights law. This means that recipients of HHS funds must ensure equal access to their programs without regard to a person's race, color, national origin, disability, age and, in some circumstances, sex and religion. This includes ensuring your programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. Please see <http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/guidance-federal-financial-assistance-recipients-title-VI/>.

The HHS Office for Civil Rights also provides guidance on complying with civil rights laws enforced by HHS. Please see <http://www.hhs.gov/civil-rights/for-individuals/section-1557/index.html>; and <http://www.hhs.gov/civil->

rights/index.html. Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. Please see <http://www.hhs.gov/civil-rights/for-individuals/disability/index.html>. Please contact the HHS Office for Civil Rights for more information about obligations and prohibitions under federal civil rights laws at <http://www.hhs.gov/civil-rights/for-individuals/disability/index.html> or call 1-800-368-1019 or TDD 1-800-537-7697. Also note it is an HHS Departmental goal to ensure access to quality, culturally competent care, including long-term services and supports, for vulnerable populations. For further guidance on providing culturally and linguistically appropriate services, recipients should review the National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care at <http://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53>.

Pursuant to 45 C.F.R. 80.3(d), an individual shall not be deemed subjected to discrimination by reason of his/her exclusion from benefits limited by federal law to individuals eligible for benefits and services from the Indian Health Service.

Recipients will be required to sign the HHS-690 Assurance of Compliance form which can be obtained from the following website:

<http://www.hhs.gov/sites/default/files/forms/hhs-690.pdf>, and send it directly to the:

U.S. Department of Health and Human Services

Office of Civil Rights

200 Independence Ave., S.W.

Washington, DC 20201

**E. Federal Awardee Performance and Integrity Information System  
(FAPIIS)**

The IHS, is required to review and consider any information about the applicant that is in the Federal Awardee Performance and Integrity Information System (FAPIIS) before making any award in excess of the simplified acquisition threshold (currently \$150,000) over the period of performance. An applicant may review and comment on any information about itself that a federal awarding agency previously entered. IHS will consider any comments by the applicant, in addition to other information in FAPIIS in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 45 C.F.R. 75.205.

As required by 45 C.F.R. part 75 Appendix XII of the Uniform Guidance, non-federal entities (NFEs) are required to disclose in FAPIIS any information about criminal, civil, and administrative proceedings, and/or affirm that there is no new information to provide. This applies to NFEs that receive federal awards (currently active grants, cooperative agreements, and procurement

contracts) greater than \$10,000,000 for any period of time during the period of performance of an award/project.

### **Mandatory Disclosure Requirements**

As required by 2 C.F.R. part 200 of the Uniform Guidance, and the HHS implementing regulations at 45 C.F.R. part 75, effective January 1, 2016, the Indian Health Service must require a non-federal entity or an applicant for a federal award to disclose, in a timely manner, in writing to the IHS or pass-through entity all violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award.

**Submission is required for all applicants and recipients, in writing, to the IHS and to the HHS Office of Inspector General all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. 45 C.F.R. 75.113.**

Disclosures must be sent in writing to:

U.S. Department of Health and Human Services

Indian Health Service

Division of Grants Management

ATTN: Robert Tarwater, Director

5600 Fishers Lane, Mailstop 09E70

Rockville, Maryland 20857

(Include “Mandatory Grant Disclosures” in subject line)

Ofc: (301) 443-5204

Fax: (301-594-0899

Email: Robert.Tarwater@ihhs.gov

**AND**

U.S. Department of Health and Human Services

Office of Inspector General

ATTN: Mandatory Grant Disclosures, Intake Coordinator

330 Independence Avenue, SW, Cohen Building

Room 5527

Washington, DC 20201

URL: <http://oig.hhs.gov/fraud/reportfraud/index.asp>

(Include “Mandatory Grant Disclosures” in subject line)

Fax: (202) 205-0604 (Include “Mandatory Grant Disclosures” in subject  
line) or

Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

Failure to make required disclosures can result in any of the remedies described in 45 C.F.R. 75.371 Remedies for noncompliance, including suspension or debarment (See 2 C.F.R. parts 180 & 376 and 31 U.S.C. 3321).

## **VII. Agency Contacts**

1. Questions on the programmatic issues may be directed to:

Lisa C. Neel, MPH

HIV Program Coordinator

Office of Clinical and Preventive Services

5600 Fishers Lane, Mailstop: 08N34A

Rockville, Maryland 20857

Phone: 301-443-4305

E-mail: [Lisa.Neel@ihs.gov](mailto:Lisa.Neel@ihs.gov)

2. Questions on grants management and fiscal matters may be directed to:

Willis Grant, Grants Management Specialist

5600 Fishers Lane, Mail Stop: 09E70

Rockville, MD 20857

301-443-2214

301-594-0899

E-mail: [Willis.Grant@ihs.gov](mailto:Willis.Grant@ihs.gov)

3. Questions on systems matters may be directed to:

Paul Gettys, Grant Systems Coordinator

5600 Fishers Lane, Mail Stop: 09E70

Rockville, MD 20857

Phone: 301-443-2114; or the DGM main line 301-443-5204

Fax: 301-443-9602

E-Mail: Paul.Gettys@ihs.gov

### **VIII. Other Information**

The Public Health Service strongly encourages all cooperative agreement and contract recipients to provide a smoke-free workplace and promote the non-use of all tobacco products. In addition, Pub. L. 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of the facility) in which regular or routine education, library, day care, health care, or early childhood development services are provided to children. This is consistent with the HHS mission to protect and advance the physical and mental health of the American people.

Date: March 21, 2016

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Elizabeth A. Fowler  
Deputy Director for  
Management Operations  
Indian Health Service

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